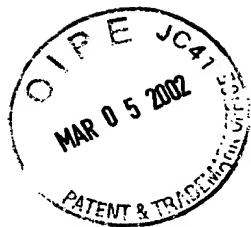


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Express Mail No.: EL 452 482 508 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Gajendragadkar

Serial No.: 09/813,673

Group Art Unit: 2161

Filed: March 21, 2001

Examiner: To be assigned

For: SYSTEM AND METHOD OF
COLLECTING, PROCESSING, AND
DISPLAYING STOCK CERTIFICATE DATA
OVER A COMPUTER NETWORK

Attorney Docket No.: 10320-006-999

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

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Sir:

Technology Center 2100

In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the application.

1. Enclosures accompanying this Information Disclosure Statement are:

1a. ☒ A list of all patents, publications, applications, or other information submitted for consideration by the office.

1b. A legible copy of :

- ☒ Each U.S. patent application publication and U.S. and foreign patent;
- ☒ Each publication or that portion which caused it to be listed on the PTO-1449;
- ☐ For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or portion of the application which caused it to be listed on the PTO-1449 including any claims directed to that portion;
- ☐ all other information or portion which caused it to be listed on the PTO-1449.

1c. ☐ An English language copy of search report(s) from a counterpart foreign application or PCT International Search Report.

- 1d. ☐ Explanations of relevancy (ATTACHMENT 1(d), hereto) or English language abstracts of the non-English language publications.
2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):
- ☐ Within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);
 - ☐ Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
 - ☒ Before the mailing of the first Office action on the merits;
 - ☐ Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.
3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the period specified in 37 C.F.R. §1.97(b), but before the mailing date of any of a final action under 37 C.F.R. §1.113, a notice of allowance under 37 C.F.R. §1.311 or an action that otherwise closes prosecution in the application.
- (Check either Item 3a or 3b)*
- 3a. ☐ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:
- ☐ enclosed
 - ☐ to be charged to Pennie & Edmonds LLP Deposit Account No. 16-1150.
- (Item 3b to be checked if any reference known for more than 3 months)*
4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the period specified in 37 C.F.R. §1.97(c), but on or before the date of payment of the issue fee.
- The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:
- ☐ enclosed.
 - ☐ to be charged to Pennie & Edmonds LLP Deposit Account No. 16-1150.
- The Certification Statement in Item 5 below is applicable.
5. ☐ Certification Statement (*applicable if Item 3a or Item 4 is checked*)
- (Check either Item 5a or 5b)*
- 5a. ☐ In accordance with 37 C.F.R. §1.97(e)(1), it is certified that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

- 5b. ☐ In accordance with 37 C.F.R. §1.97(e)(2), it is certified that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known by any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
6. ☐ This application is a continuation application under 37 C.F.R. §1.60 or §1.53(b) or (d).

(Check appropriate Items 6a, 6b and/or 6c)

- 6a. ☐ A Petition to Withdraw from issue under 37 C.F.R. §1.313(b)(5) is concurrently filed herewith.
- 6b. ☐ Copies of publications listed on Form PTO-1449 from prior application Serial No. __, filed on __, of which this application claims priority under 35 U.S.C. §120, are not being submitted pursuant to 37 C.F.R. §1.98(d).
- 6c. ☐ Copies of the publications listed on Form PTO-1449 were not previously cited in prior application Serial No. __, filed on __, and are provided herewith.
7. ☐ This is a Supplemental Information Disclosure Statement. *(Check either Item 7a or 7b)*
- 7a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on __. A bona fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental Information Disclosure Statement can be considered as if properly filed on __.
- 7b. ☐ This Supplemental Information Disclosure Statement is timely filed within one (1) month of a PTO Notice under 37 C.F.R. §1.97(i).
8. ☐ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

(Check Item 8a, 8b, or 8c)

- 8a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office.
- 8b. ☐ set forth in the application.
- 8c. ☐ enclosed as an attachment hereto.
9. ☒ The Commissioner is authorized to charge any additional fee required or credit any overpayment for this Information Disclosure Statement and/or Petition to Pennie & Edmonds LLP Deposit Account No. 16-1150.

10. ☒ No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report if submitted herewith). 37 C.F.R. §§1.97(g) and (h).


Respectfully submitted,

Date March 5, 2002



Wilfred H. Lam 41,923
(Reg. No.)

For David Weild, III, Reg. No. 21,094
PENNIE & EDMONDS LLP
1155 Avenue of Americas
New York NY 10036-2720
(212) 790 - 9090

	LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)		ATTY. DOCKET NO. 10320-006-999	APPLICATION NO. 09/813,673
	APPLICANT Dilip Gajendragadkar			
	FILING DATE March 21, 2001	GROUP 2161		

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,136,502	08/04/92	Van Remortel <i>et al.</i>			
	AB	5,272,623	12/21/93	Grubb <i>et al.</i>			
	AC	5,317,733	05/31/94	Murdock			
	AD	5,446,653	08/29/95	Miller <i>et al.</i>			
	AE	5,623,403	04/22/97	Highbloom			
	AF	5,692,206	11/25/97	Shirley <i>et al.</i>			
	AG	5,706,452	01/06/98	Ivanov			
	AH	5,727,950	3/17/98	Cook <i>et al.</i>			
	AI	5,754,857	05/19/98	Gadol			
	AJ	5,765,144	06/09/98	Larche <i>et al.</i>			
	AK	5,809,478	09/15/98	Greco <i>et al.</i>			
	AL	5,873,066	02/16/99	Underwood <i>et al.</i>			
	AM	5,913,198	06/15/99	Banks			
	AN	5,950,169	09/07/99	Borghesi <i>et al.</i>			
	AO	5,966,699	10/12/99	Zandi			
	AP	5,991,733	11/23/99	Aleia <i>et al.</i>			
	AQ	6,018,722	01/25/00	Ray <i>et al.</i>			
	AR	6,026,364	02/15/00	Whitworth			
	AS	6,029,144	02/22/00	Barrett <i>et al.</i>			
	AT	6,038,541	03/14/00	Tokuda <i>et al.</i>			
	AU	6,041,313	03/21/00	Gilbert <i>et al.</i>			

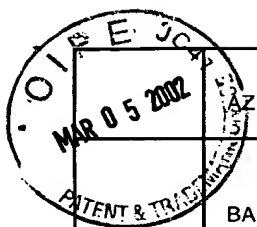
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	AV	Pitkow <i>et al.</i> , 1995, "Towards an intelligent publishing environment," <u>Computer Networks and ISDN Systems</u> , 27:729-737
	AW	Lee, 1997, "A Messenger Model for Navigating Among Bureaucratic Requirements," <u>Proceedings of the 30th Hawaii International Conference on System Sciences</u> , IV:468-477
	AX	Edwards <i>et al.</i> , 1997, "Toward Knowledge Management Systems in the Legal Domain," <u>Proc. of Int'l. ACM SIGGROUP Conf. On Supporting Group Work</u> , Phoenix, AZ 158-166
	AY	Foekens, <i>et al.</i> , 1997, "Facilitating International Electronic Commerce by Formalising the Incoterms," <u>Proceedings of the 30th Hawaii International Conference on System Sciences</u> , IV:459-467



		Paul et al., 1997, "RainMan: A Workflow System for the Internet," <u>USENIX Symposium on Internet Technologies and Systems</u> , 159-170
	BA	Baker et al., 1999, "Providing Customized Process and Situation Awareness in the Collaboration Management Infrastructure," <u>Proceedings of the Fourth IECIS International Conference on Cooperative Information Systems</u> , 79-91
	BB	Data Technology Services, Inc., "BrokerBooks", http://www.dtssoftware.com/products.htm Accessed on: April 14, 2000
	BC	Infront, May 2000, "ProspectusinaBox", <u>Business 2.0</u> 46
		RECEIVED MAR 12 2002
EXAMINER		DATE CONSIDERED Technology Center 2100
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>		